

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Gary L. Gastineau *et al.*

Appl. No.: 09/815,589

Filed: March 23, 2001

For: **HEDGING TRADING OF MUTUAL  
FUNDS OR OTHER PORTFOLIO  
BASKET PRODUCTS**

Examiner: Kazimi, Hani M.

Art Unit: 3691

Confirmation No.: 7446

Atty. Docket No: 00322.0007.CNUS01

Customer No.: 22930

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

***Mail Stop Amendment***

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Supplemental Information Disclosure Statement be entered and the documents listed on attached Form PTO/SB/08a and PTO/SB/08b be considered by the Examiner and made of record. A copy of the documents listed as “other art” (C1-C2) required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

In accordance with 37 C.F.R. §§ 1.97(g),(h), this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Supplemental Information Disclosure Statement is being filed *after* the mailing of a first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance, or action that otherwise closes prosecution in the application.


The Commissioner is hereby authorized to charge our Deposit Account No. **08-3038** for the fee as set forth in 37 C.F.R. § 1.17(p) in the amount of **\$180.00**. Kindly make reference to Howrey Docket No. **00322.0007.CNUS01** when debiting this account.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO/SB/08a and PTO/SB/08b, and to indicate in the official file wrapper of this patent application that the documents have been considered.

Applicants respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,

Date: October 5, 2009

  
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